

02-07-01

A

UTILITY
PATENT APPLICATION
TRANSMITTAL

Attorney Docket No. 56269.US

First Named Inventor Michael Spencer et al.

Title A METHOD OF USING A COMPUTERISED
TRADING SYSTEM TO PROCESS TRADES IN
FINANCIAL INSTRUMENTS

Express Mail Label No. EL 624124814US

ADDRESS TO:
Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231J1036 U.S. PTO
09/17/98

02/06/01

APPLICATION ELEMENTS

See MPEP Chapter 699 concerning utility patent application contents.

ACCOMPANYING APPLICATION PARTS

1. ☒ * Fee Transmittal Form (e.g. PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 54]
3. ☒ Drawing(s) (35 USC 113) [Total Pages 10]
4. Oath or Declaration [Total Pages 2]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 16 completed)
[Note Box 5 below]
- i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 CFR 1.63(d)(2) and 1.33(b).
- ☐ Incorporation by Reference (useable if Box 4b is
checked) The entire disclosure of the prior application,
from which a copy of the oath or declaration is supplied
under Box 4b, is considered as being part of the
disclosure of the accompanying application and is
hereby incorporated by reference therein.
6. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies)

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 CFR 3.73(b) Statement
(when there is an assignee) ☐ Power of
Attorney
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement
(IDS)/PTO-1449 ☐ Copies of
IDS
Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
13. ☐ Request and Certification
Under 35 U.S.C. 122(b)(2)(B)(i)
(PTO/SB/35 (11-00)
(1 page) ☐
14. ☒ Certified Copy of Priority Documents
(if foreign priority is claimed)
15. ☐ Other:

NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL
ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27),
EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R.
§ 1.28).

16. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner

Group / Art Unit:

18. CORRESPONDENCE ADDRESS

Customer No. 000408

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Registration No. 39,831

Signature

Michael E. Sellers

Date 2/6/01

EL624124814US

FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.
Small Entity payments must be supported by a small entity statement,
otherwise large entity fees must be paid. See Forms PTO/SB09-12.
See 37 C.F.R. §§ 1.27 and 1.28.

Complete If Known

Application Number	NEW
Filing Date	February 6, 2001
First Named Inventor	Michael Spencer et al
Examiner Name	
Group / Art Unit	
Attorney Docket No.	56269.US

TOTAL AMOUNT OF PAYMENT (\$ 2150.00

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account No. **12-2355**
Deposit Account Name:
LUEDEKA, NEELY & GRAHAM

☒ Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17.

2. ☒ Payment Enclosed: Check No. 43500

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)					(\$ 710

2. EXTRA CLAIM FEES

Total Claims	100 - 20** = 80	x18	=1440
Independent Claims	1 - 3** = 0	x	= 0
Multiple Dependent Claims		X	=

**or number previously paid, if greater.

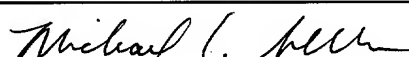
Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim	
SUBTOTAL (2)					(\$ 1440

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
115	110	215	55	Extension for reply within first month	
116	380	216	190	Extension for reply within second month	
117	870	217	435	Extension for reply within third month	
118	1,360	218	680	Extension for reply within fourth month	
128	1,850	228	925	Extension for reply within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of appeal	
121	260	221	130	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,210	241	605	Petition to revive - unintentional	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions relating to provisional applications	
126	240	126	240	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))	
Other fee (specify)					
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3)					(\$ 0

SUBMITTED BY

Typed or Printed Name	Michael E. Sellers	Registration No.	39,831
Signature		Date	2/6/01